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APR 18 2002

1614-

Practitioner's Docket No. 0157.00

TECH CENTER 1600/2900

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Bot, Adrian; Dellamary, Luis; Smith, Dan J.; Woods, Catherine M.

Application No.: 09/919,477

Group No.: Unknown

Filed: 7/30/01

Examiner: Unassigned

For: Novel Methods and Compositions to Upregulate, Redirect or Limit Immune Responses to Peptides, Proteins and Other Bioactive Compounds and Vectors Expressing the Same

Assistant Commissioner for Patents
Washington, D.C. 20231

POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST
(REVOCATION OF PRIOR POWERS)

As assignee of record of the entire interest of the above identified application,

REVOCATION OF PRIOR POWERS OF ATTORNEY

all powers of attorney previously given are hereby revoked and

NEW POWER OF ATTORNEY

the following practitioners are hereby appointed to prosecute and transact all business in the Patent and Trademark Office connected therewith.

Michael J. Rafa, Registration No. 38,740
Felissa H. Cagan, Registration No. 35,089
Susan T. Evans, Registration No. 38,443
Guy V. Tucker, Registration No. 45,302

SEND CORRESPONDENCE TO:

DIRECT TELEPHONE CALLS TO:

Customer No.: 21968

650-631-5053

Assignee:

Inhale Therapeutic Systems, Inc.
150 Industrial Road
San Carlos, CA 94070 U.S.A.

Recorded in PTO on 3/19/2001 Reel 012496 Frame 0786

ASSIGNEE STATEMENT

Attached to this power is a "STATEMENT UNDER 37 C.F.R. section 3.73(b)."

Date: April 1, 2002

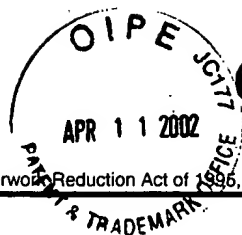
Felissa H. Cagan

Signature

Inhale Therapeutic Systems, Inc.

Assignee

Felissa H. Cagan



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STATEMENT UNDER 37 CFR 3.73(b)

APR 18 2002

Applicant/Patent Owner: Adrian Bot, et al.

TECH CENTER 1600/2900

Application No./Patent No.: 09/919,477Filed/Issue Date: July 30, 2001Novel Methods and Compositions to Upregulate, Redirect or Limit Immune
Entitled: Responses to Peptides, Proteins and Other Bioactive Compounds and Vectors
Expressing the Same
Inhale Therapeutic Systems, Inc., a Corporation

(Name of Assignee)

(Type of Assignee, e.g. corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____%
in the patent application/patent identified above by virtue of either:

A. [] An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Inventors To: Alliance Pharmaceutical Corp
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: Alliance Pharmaceutical Corp To: Inhale Therapeutic Systems, Inc.
The document was recorded in the United States Patent and Trademark Office at Reel 012496, Frame 0786, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

[] Additional documents in the chain of title are listed on a supplemental sheet.

[x] Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

April 1, 2002
Date

Felissa H. Cagan
Typed or printed name
Felissa H. Cagan
Signature
Senior Director, Intellectual Property
Title



MARCH 20, 2002

PTAS

INHALE THERAPEUTIC SYSTEMS, INC.
MICHAEL J. RAFA
150 INDUSTRIAL ROAD
SAN CARLOS, CA 94070

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/19/2002

REEL/FRAME: 012496/0786
NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

ALLIANCE PHARMACEUTICAL CORP.

DOC DATE: 03/15/2002

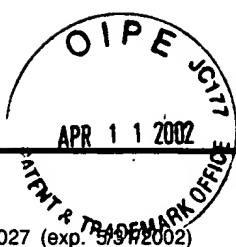
ASSIGNEE:

INHALE THERAPEUTIC SYSTEMS, INC.
150 INDUSTRIAL ROAD
SAN CARLOS, CALIFORNIA 94070

SERIAL NUMBER: 09919477
PATENT NUMBER:

FILING DATE: 07/30/2001
ISSUE DATE:

VIOLET MCCOY, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



Form PTO-1595
(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)

RECORDATION FORM COVER SHEET
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

Tab settings ⇨ ⇨ ⇨ ▼ ▼ ▼ ▼ ▼ ▼ ▼

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):
Alliance Pharmaceutical Corp.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: March 15, 2002

2. Name and address of receiving party(ies)

Name: Inhale Therapeutic Systems, Inc.

Internal Address: _____

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APR 18 2002

Street Address: 150 Industrial Road **TECH CENTER 1600/2900**

City: San Carlos State: CA Zip: 94070

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)
09/919,477

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Michael J. Rafa

Internal Address: Inhale Therapeutic Systems, Inc.

Street Address: 150 Industrial Road

City: San Carlos State: CA Zip: 94070

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number:

500348

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Michael J. Rafa

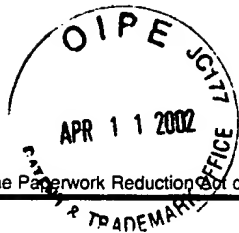
Name of Person Signing

Michael J. Rafa
Signature

3/19/02
Date

Total number of pages including cover sheet, attachments, and documents 6

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Adrian Bot, et al.Application No./Patent No.: 09/919,477Filed/Issue Date: 7/30/2001Entitled: Novel Methods and Compositions to Upregulate, Redirect or Limit Immune Responses to Peptides Proteins and Other Bioactive Compounds and Vectors

Expressing the Same

Inhale Therapeutic Systems, Inc.a Corporation

(Name of Assignee)

(Type of Assignee, e.g. corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:

A. [] An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. [x] A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Inventors To: Alliance Pharmaceutical Corp.
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: Alliance Pharmaceutical Corp. To: Inhale Therapeutic Systems, Inc.
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

[] Additional documents in the chain of title are listed on a supplemental sheet.

[x] Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

3/19/02
Date

John S. Patton

Typed or printed name

John S. Patton
Signature

Chief Scientific Officer

Title

ASSIGNMENT OF PATENT RIGHTS

Alliance Pharmaceutical Corp., a corporation organized and existing under the laws of the state of New York, having a place of business at 3040 Science Park Road, San Diego, California 92121 (hereinafter called "Assignor"), hereby assigns certain patent rights to Inhale Therapeutic Systems, Inc. a corporation organized and existing under the laws of the state of Delaware having a place of business at 150 Industrial Way, San Carlos, California 94070 (hereinafter called the "Assignee"):

WHEREAS Assignor is the owner of the following patent applications: U.S. Serial No. 09/568,818 entitled **Stable Metal Ion-Lipid Powdered Pharmaceutical Compositions for Drug Delivery and Methods of Use**; U.S. Serial No. 10/044,880 entitled **Stable Metal Ion-Lipid Powdered Pharmaceutical Compositions for Drug Delivery and Methods of Use**; International Serial No. PCT/US01/14824 entitled **Stable Metal Ion-Lipid Powdered Pharmaceutical Compositions for Drug Delivery and Methods of Use**; U.S. Serial No. 09/919,477 entitled **Novel Methods and Compositions to Upregulate, Redirect or Limit Immune Responses to Peptides, Proteins and Other Bioactive Compounds and Vectors Expressing the Same**; International Serial No. PCT/US01/24038 entitled **Novel Methods and Compositions to Upregulate, Redirect or Limit Immune Responses to Peptides, Proteins and Other Bioactive Compounds and Vectors Expressing the Same**; and U.S. Provisional Application Serial No. 60/286,891, entitled **Formulations and Compositions for the Delivery of Macromolecules**, and

WHEREAS Assignor has agreed with Assignee for the transfer to it of the whole right, title and interest in and to said applications, and inventions therein.

NOW THIS ASSIGNMENT WITNESSETH that Assignor, as beneficial owner, hereby assigns and transfers to Assignee said applications, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations, and continuations-in-part of said applications, or reissues or extensions of said Letters Patent, and all rights, privileges and advantages appertaining thereto, including any and all rights to damages, profits or recoveries of any nature for past infringement of said Letters patent, and the payment of any and all maintenance fees, taxes, and the like, TO HOLD the same unto and to the use of Assignee, its successors and assigns absolutely during the residue of the respective terms for which the said Letters Patent were granted and during any such terms, and for any and all rights extending from said applications and reissues.

Executed at San Diego, California, United States of America, as of the 15 day of March 2002.

Assignor: Alliance Pharmaceutical Corp.

Signature: 

Ted Roth

President and Chief Operating Officer

Application No.: 09/919,477

Filing Date: July 30, 2001

ASSIGNMENT

WHEREAS, We, **Adrian Bot**, a Romania citizen, residing at 5445 Foxhound Way, San Diego, CA, **Luis Dellamary**, a Mexico citizen, residing at 838 Redberry Court, San Marcos, CA 92069, **Dan J. Smith**, a United States citizen, residing at 4004 Caminito Meliado, San Diego, CA 92122, **Catherine M. Woods**, a United States citizen, residing at 7260 Romero Drive, La Jolla, CA 92037, have invented certain new and useful improvements in NOVEL METHODS AND COMPOSITIONS TO UPREGULATE, REDIRECT OR LIMIT IMMUNE RESPONSES TO PEPTIDES, PROTEINS AND OTHER BIOACTIVE COMPOUNDS AND VECTORS EXPRESSING THE SAME for which we have filed an application for Letters Patent in the United States, U.S. Serial No. 09/919,477, filed July 30, 2001;

AND WHEREAS, Alliance Pharmaceutical Corp. (hereinafter "ASSIGNEE"), a New York Corporation, with its principal place of business at 3040 Science Park Rd., San Diego, California 92121, desires to acquire the entire right, title, and interest in and to the said improvements and the said Application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to me in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, successors, legal representatives and assigns, the entire right, title, and interest throughout the world in, to and under the said improvements, and the said application and all provisional applications relating thereto, and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said ASSIGNEE, successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we will communicate to the said ASSIGNEE, successors, legal representatives and assigns, any facts known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said ASSIGNEE, successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 18 day of October, 2001.

Adrian Bot

Adrian Bot

STATE OF California }
COUNTY OF San Diego } ss.

On Oct. 18, 2001, before me, Daniel Trus, personally appeared Adrian Bot personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument, and acknowledged to me that executed the same in authorized capacity(ies), and that by signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

Application No.: 09/919,477

Filing Date: July 30, 2001

WITNESS my hand and official seal.

[SEAL]



Diane L. Trus
Notary Signature

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 18 day of October, 2001.

[Signature]
Luis Dellamary

STATE OF California }
COUNTY OF San Diego } ss.

On Oct-18, 2001, before me, Diane L. Trus, personally appeared Luis Dellamary personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument, and acknowledged to me that executed the same in authorized capacity(ies), and that by signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

[SEAL]



Diane L. Trus
Notary Signature

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 18 day of October, 2001.

[Signature]
Dan J. Smith

STATE OF California }
COUNTY OF San Diego } ss.

On Oct-18, 2001, before me, Diane L. Trus, personally appeared Dan J. Smith personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument, and acknowledged to me that executed the same in authorized capacity(ies), and that by signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Application No.: 09/919,477

Filing Date: July 30, 2001

[SEAL]



Notary Signature

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 24 day of October, 2001

Catherine M. Woods

STATE OF California
COUNTY OF San Diego] ss.

On October 24, 2001 before me, Diane L. Trus, personally appeared Catherine M. Woods personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument, and acknowledged to me that executed the same in authorized capacity(ies), and that by signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

[SEAL]



Notary Signature

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